



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**PATENT**

Applicants: Woodruff et al.

For: ENHANCED PREMIUM EQUITY PARTICIPATING  
SECURITIES

Serial No.: 10/679,054

Filed: October 3, 2003

Commissioner for Patents  
P.O. Box: 1450  
Alexandria, VA 22313-1450

**EXPRESS MAIL CERTIFICATE**

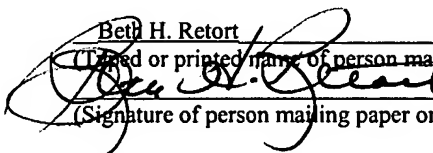
"Express Mail" label number EU990162335US

Date of Deposit June 17, 2004

I hereby certify that the following attached paper or fee

**3.73 STATEMENT (with copy of the executed Assignment)**

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: **Commissioner for Patents, P.O. Box: 1450, Alexandria, VA 22313-1450**

Beth H. Retort  
 (Typed or printed name of person mailing paper or fee)  
  
 (Signature of person mailing paper or fee)

**NOTE:** Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

**NOTE:** The label number need not be placed in each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label number is placed.

**(Express Mail Certificate [8-3])**



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
37 C.F.R. § 3.73(b) Statement

Applicants: Woodruff et al.

For: ENHANCED PREMIUM EQUITY PARTICIPATING SECURITIES

Serial No.: 10/679,054

Filed: October 3, 2003

**Morgan Stanley (a Delaware corporation)** is the assignee of the entire right, title and interest in the patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the **patent application** identified above. The assignment was recorded in the United States Patent and Trademark Office on at

Reel \_\_\_\_\_, Frame \_\_\_\_\_ or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s) of the patent application identified above to the current assignee as shown below:

1. From \_\_\_ To: \_\_\_

The document was recorded in the United States Patent and Trademark Office on \_\_\_\_\_ at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

**Power Of Attorney**

I hereby revoke all previous powers of attorney, if any, and appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Tim S. Bedard,	Reg. No. 53,978	Mark R. Leslie,	Reg. No. 36,360
Roberto Capriotti,	Reg. No. 46,599	Daniel R. Miller,	Reg. No. 52,030
George D. Dickos,	Reg. No. 30,048	Franklin B. Molin,	Reg. No. 37,397
Thomas J. Edgington,	Reg. No. 34,324	Robert A. Muha,	Reg. No. 44,249
Christine R. Ethridge,	Reg. No. 30,557	Mark A. Nuzzo,	Reg. No. 53,396
Kami Lammon-Hilinski,	Reg. No. 51,913	Jonathan C. Parks,	Reg. No. 40,120
Jesse A. Hirshman,	Reg. No. 40,016	Bernard G. Pike,	Reg. No. 46,993
Mark G. Knedeisen,	Reg. No. 42,747	Robert V. Racunas, Jr.,	Reg. No. 43,027
William E. Kuss,	Reg. No. 41,919	David Schramm,	Reg. No. 41,295
James R. Kyper,	Reg. No. 27,346	Craig M. Waller,	Reg. No. 54,771
Michael D. Lazzara,	Reg. No. 41,142	Robert D. Yeager,	Reg. No. 25,047
		Laurence J. Bromberg	Reg. No. 36,095

Please Direct All Correspondence to: **Michael D. Lazzara, Esq.**  
**Kirkpatrick & Lockhart, LLP**  
**Henry W. Oliver Building**  
**535 Smithfield Street**  
**Pittsburgh, PA 15222-2312**

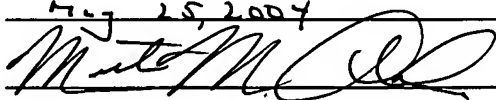
**Declaration**

I hereby declare that my presentation of this paper constitutes a certification under 37 C.F.R § 10.18, which provides, in part, that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful statements may jeopardize the validity of the application and any patent issuing therefrom.

Date

July 25, 2007

Signature



Name

Martin Cohen

Title

Executive Director



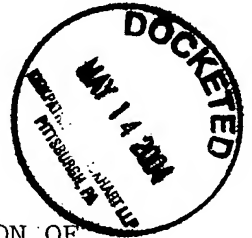
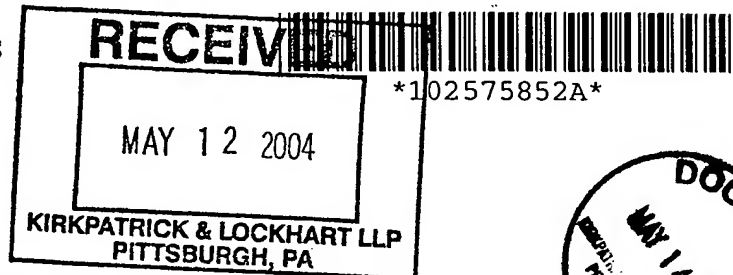
UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

MAY 07, 2004

KIRKPATRICK & LOCKHART LLP  
MARK G. KNEDEISEN  
HENRY W. OLIVER BUILDING  
535 SMITHFIELD STREET  
PITTSBURGH, PA 15222-2312

PTAS



UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/03/2003

REEL/FRAME: 014579/0657  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
WOODRUFF, KEVIN G.

DOC DATE: 10/02/2003

ASSIGNOR:  
SAVASOGLU, SERKAN

DOC DATE: 10/02/2003

ASSIGNOR:  
MCMURTRAY, NATHAN N.

DOC DATE: 10/02/2003

ASSIGNEE:  
MORGAN STANLEY  
1585 BROADWAY  
NEW YORK, NEW YORK 10036

SERIAL NUMBER: 10679054  
PATENT NUMBER:

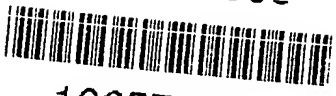
FILING DATE: 10/03/2003  
ISSUE DATE:

014579/0657 PAGE 2

SHARON LATIMER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



10-16-2003



102575852

REC OF

DEPARTMENT OF COMMERCE  
J.S. Patent and Trademark Office

PTO-1595  
(Rev. 03/01)  
OMB No. 0651-0027 (exp. 5/31/2002)  
Tab settings ==>>>

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):  
**Kevin G. Woodruff, Serkan Savasoglu, and Nathan N. McMurtray**  
Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:  
☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

**Execution Dates: October 2, 2003, October 2, 2003 and October 2, 2003**

2. Name and address of receiving party(ies)  
Name: Morgan Stanley  
Internal Address: \_\_\_\_\_  
Street Address: 1585 Broadway  
City: New York State: New York Zip: 10036  
Additional name(s) and address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):  
If this document is being filed together with a new application, the execution date of the application is: October 2, 2003  
A. Patent Application No.(s) 106780541 B. Patent No.(s) \_\_\_\_\_  
Additional number(s) attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed.  
Name: Mark G. Knedeisen, Esq.  
Internal Address: Kirkpatrick & Lockhart LLP  
Henry W. Oliver Building  
Street Address: 535 Smithfield Street  
City: Pittsburgh State: PA Zip: 15222-2312

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00  
Enclosed  
☒ Authorized to be charged to deposit account

8. Deposit account number:  
11-1110  
(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.  
*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Mark G. Knedeisen Mark Knedeisen 10/3/03  
Name of Person Signing Signature Date

Total number of pages including cover sheet, attachments, and documents: 4

10/15/2003 EDOOPER 00000104 111110 10679054  
01/FC:8021 40.00 DA  
Mail documents to be recorded with required cover sheet information to:  
Mail Stop: Assignment Recordation Services, Director of the US Patent and Trademark Office, P.O. Box: 1450, Alexandria, VA 22313-1450

ASSIGNMENT OF APPLICATION FOR PATENT

(JOINT INVENTORS)

WHEREAS:

Kevin G. Woodruff, residing at 225 West 83<sup>rd</sup> Street, #6E, New York, NY 10025, a citizen of the USA

Serkan Savasoglu, residing at 180 Riverside Blvd., #27D, New York, NY 10069, a citizen of Turkey

Nathan N. McMurtray, residing at 271 West 47<sup>th</sup> Street, #49D, New York, NY 10036, a citizen of the USA

(full names and residential addresses of inventors (including countries of citizenship))

(hereinafter referred to as ASSIGNORS), have made an invention or discovery entitled:

ENHANCED PREMIUM EQUITY PARTICIPATING SECURITIES

(title of invention or discovery)

☒ for which application for Letters Patent of the United States has been executed on even date herewith, and

☐ for which application for Letters Patent of the United States has been filed on \_\_\_\_\_, under Serial No. \_\_\_\_\_, and

WHEREAS:

Morgan Stanley with an office at 1585 Broadway, New York, New York 10036 (hereinafter referred to as ASSIGNEE), is desirous of acquiring the entire right, title and interest in, to and under said invention or discovery, and in, to and under said United States application, and in, to and under Letters Patent or similar legal protection to be granted thereon in the United States and in any and all foreign countries, and of confirming the same or any part thereof heretofore acquired by ASSIGNEE.

NOW, THEREFORE:

In consideration of the payment by ASSIGNEE to each of ASSIGNORS of the sum of One Dollar (\$1.00) and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer to and confirm in ASSIGNEE, its successors, legal representatives and assigns, the full and exclusive right, title and interest to said invention or discovery in the United States and its territorial possessions and in all foreign countries; and to said United States application and any and all other applications on said invention or discovery in whatsoever countries, including any continuations, divisions, substitutes or renewals; and to all Letters Patent, and all reissues, re-examinations, and extensions thereof, or similar legal protection in the United States and its territorial possessions and in any and all foreign countries to be obtained for said invention or discovery or upon said applications or any legal equivalent thereof in a foreign country for the full term or terms for which the same may be granted; and every priority right that is or may be predicated upon or arise from said invention or discovery, said applications and said Letters Patent,

WE, SAID ASSIGNORS, hereby authorize and request the Director of the United States Patent and Trademark Office, the Commissioner for Patents of the United States of America, any other United States Official, and/or any Official of any country or countries foreign to the United States of America whose duty it is to issue Letters Patent on applications as aforesaid, to issue or transfer all such Letters Patent for said invention or discovery to the ASSIGNEE, as assignee of the entire right, title and interest in, to and under the same, for the sole use and behalf of the ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

WE, SAID ASSIGNORS, hereby covenant that we have full right to convey the entire right, title and interest herein sold, assigned, transferred, set over and confirmed, and that we have not executed and will not execute any agreement in conflict herewith;

AND WE, SAID ASSIGNORS, hereby further covenant and agree that the ASSIGNEE, its successors, legal representatives, or assigns, may apply for Letters Patent in any or all countries on said invention or discovery in our names or in the name of ASSIGNEE or otherwise as ASSIGNEE may deem advisable, and may claim the benefits of the International Convention or otherwise claim priority rights;

AND WE, SAID ASSIGNORS, hereby further covenant that we will, at any time when called upon to do so by the ASSIGNEE, its successors, legal representatives, or assigns: communicate to the ASSIGNEE, its successors, legal representatives, or assigns, as the case may be, any facts known to us respecting said invention or discovery or the history thereof, including without limitation the furnishing of any and all documents, photographs, models, samples and other physical exhibits in our control which may be useful for establishing the facts of our conception, disclosures, and reduction to practice of said invention or discovery; execute and deliver to the ASSIGNEE, its successors, legal representatives, or assigns, as the case may be, any and all lawful papers that may be necessary or desirable to perfect the title to the said invention or discovery, the said applications and the said Letters Patent in the ASSIGNEE, its successors, legal representatives and assigns; if reissues, re-examinations, or other like proceedings involving the said Letters Patent or disclaimers relating thereto, or divisions, continuations, or refilings of the said applications, or any thereof, shall hereafter be desired by the ASSIGNEE, its successors, legal representatives, or assigns, we will sign all lawful papers, make all rightful oaths, execute and deliver all such disclaimers and all divisional, continuation, re-examination and reissue applications so desired, and do all lawful acts requisite for the application for such reissues, re-examinations and the procuring thereof and for the filing of such disclaimers and such applications; and generally do everything possible, including testifying in any legal proceedings, signing all lawful papers and making all rightful oaths, to aid the ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said invention or discovery in all countries, and without further compensation but at the expense of the ASSIGNEE, its successors, legal representatives and assigns.

IN WITNESS WHEREOF, I have hereunto affixed my signature on the date and year opposite my signature.

Assignor's Signature:

Kevin G. Woodruff  
Name

10-2-03  
Date

Assignor's Typed  
Name:

Kevin  
First Name

G.  
Middle Initial

Woodruff  
Last Name

Citizenship:

STATE OF

new York  
ss.:

COUNTY OF

new York

On this 2<sup>nd</sup> day of October, 2003, before me, the undersigned authority, personally appeared KEVIN G. WOODRUFF, known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he/she executed the same as his/her own voluntary act and deed.

George L. Van Arman  
Notary Public

GEORGE L. VAN ARMAN, Notary Public  
State of New York, No. 31-4680606  
Qualified in New York County  
Exp. filed in New York County  
Commission Expires September 20, 2006



IN WITNESS WHEREOF, I have hereunto affixed my signature on the date and year opposite my signature.

Assignor's Signature: S. Savasoglu Oct. 2, 2003  
Name Date

Assignor's Typed Name: Serkan Savasoglu  
First Name Middle Initial Last Name

Citizenship:

STATE OF ) NEW YORK  
SS.:  
COUNTY OF ) NEW YORK

On this 2<sup>ND</sup> day of OCTOBER, 2003, before me, the undersigned authority, personally appeared SERKAN SAVASOGLU, known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he/she executed the same as his/her own voluntary act and deed.

George L. Van Amson  
Notary Public  
GEORGE L. VAN AMSON, Notary Public  
State of New York, No. 31-4680806  
Qualified in New York County  
Cert. filed in New York County  
Commission Expires September 30, 2006

IN WITNESS WHEREOF, I have hereunto affixed my signature on the date and year opposite my signature.

Assignor's Signature: Nathan N. McMurtray Oct. 2, 2003  
Name Date

Assignor's Typed Name: Nathan N. McMurtray  
First Name Middle Initial Last Name

Citizenship:

STATE OF ) NEW YORK  
SS.:  
COUNTY OF ) NEW YORK

On this 2<sup>ND</sup> day of OCTOBER, 2003, before me, the undersigned authority, personally appeared NATHAN N. MCMURTRAY, known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he/she executed the same as his/her own voluntary act and deed.

George L. Van Amson  
Notary Public  
GEORGE L. VAN AMSON, Notary Public  
State of New York, No. 31-4680806  
Qualified in New York County  
Cert. filed in New York County  
Commission Expires September 30, 2006